

## finance

```

05jull10 22:44:29 User233765 Session D214.3
$58.87 44.938 DialUnits File20
$0.00 15 Type(s) in Format 95 (KWIC)
$0.00 15 Types
$58.87 Estimated cost File20
$5.73 0.936 DialUnits File624
$0.00 1 Type(s) in Format 95 (KWIC)
$0.00 1 Types
$5.73 Estimated cost File624
$32.60 5.563 DialUnits File621
$1.20 4 Type(s) in Format 95 (KWIC)
$1.20 4 Types
$33.80 Estimated cost File621
$23.53 4.015 DialUnits File636
$23.53 Estimated cost File636
$4.16 3.813 DialUnits File613
$4.16 Estimated cost File613
$0.64 0.585 DialUnits File634
$0.64 Estimated cost File634
$1.37 1.258 DialUnits File813
$1.37 Estimated cost File813
OneSearch, 7 files, 61.109 DialUnits FileOS
$5.07 INTERNET
$133.17 Estimated cost this search
$305.32 Estimated total session cost 93.013 DialUnits

SYSTEM:OS - DIALOG OneSearch
File 608:MCT Information Svc. 1992-2010/Jul 05
(c) 2010 MCT Information Svc.
File 625:American Banker Publications 1981-2008/Jun 26
(c) 2008 American Banker
*File 625: This file no longer updates.
Use Newsroom for current records.
File 268:Banking Info Source 1981-2010/Jun W3
(c) 2010 ProQuest Info&Learning
File 626:Bond Buyer Full Text 1981-2008/Jul 07
(c) 2008 Bond Buyer
*File 626: This file no longer updates.
Use NewsRoom for current records.
File 267:Finance & Banking Newsletters 2008/Sep 29
(c) 2008 Dialog
*File 267: no longer updates. Please see
File 268 or NewsRoom for current content.

```

```

Set Items Description
--- ----

```

**? S STOCK? OR BOND? OR SECURITIES or funds or investment? or share or shares or equities or equity**

Processing  
Processing

608: MCT Information Svc.\_1992-2010/Jul 05

# Save-2010-07-05\_204724

619584 SHARE  
 430743 FUNDS  
 339598 BOND?  
 783751 STOCK?  
 11929 EQUITIES  
 111934 EQUITY  
 132157 SECURITIES  
 255242 SHARES  
 486915 INVESTMENT?  
 2067203 STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR  
 SHARE OR SHARES OR EQUITIES OR EQUITY

## 625: American Banker Publications\_1981-2008/Jun 26

46231 SHARE  
 32104 BOND?  
 83558 INVESTMENT?  
 3435 EQUITIES  
 26831 SHARES  
 34328 EQUITY  
 49613 FUNDS  
 56261 STOCK?  
 63498 SECURITIES  
 184339 STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR  
 SHARE OR SHARES OR EQUITIES OR EQUITY

## 268: Banking Info Source\_1981-2010/Jun W3

26833 BOND?  
 34297 EQUITY  
 4091 EQUITIES  
 17391 SHARES  
 40435 SHARE  
 48419 STOCK?  
 52722 FUNDS  
 51482 SECURITIES  
 104781 INVESTMENT?  
 201861 STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR  
 SHARE OR SHARES OR EQUITIES OR EQUITY

## 626: Bond Buyer Full Text\_1981-2008/Jul 07

57981 INVESTMENT?  
 17060 STOCK?  
 12608 SHARE  
 2351 EQUITIES  
 2906 SHARES  
 7755 EQUITY  
 46278 FUNDS  
 107331 SECURITIES  
 284838 BOND?  
 297633 STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR  
 SHARE OR SHARES OR EQUITIES OR EQUITY

## 267: Finance & Banking Newsletters\_2008/Sep 29

28762 BOND?  
 25598 SHARE  
 7420 EQUITIES  
 18588 SHARES  
 38167 SECURITIES  
 35024 STOCK?  
 66164 INVESTMENT?  
 34592 FUNDS  
 43487 EQUITY  
 117989 STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR

## Save-2010-07-05\_204724

SHARE OR SHARES OR EQUITIES OR EQUITY

TOTAL: FILES 608,625,268 and ...

940515 STOCK?  
712135 BOND?  
392635 SECURITIES  
613948 FUNDS  
799399 INVESTMENT?  
744456 SHARE  
320958 SHARES  
29226 EQUITIES  
231801 EQUITY  
SI 2869025 STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR  
SHARE OR SHARES OR EQUITIES OR EQUITY

**? s alert? or sdi or selective (2n)information or notify? or notify? or  
alarm? or flag?**

### Processing

608: MCT Information Svc.\_1992-2010/Jul 05

163957 FLAG?  
108811 ALERT?  
44710 NOTIFY?  
14618 SELECTIVE  
6458482 INFORMATION  
145 SELECTIVE(2N) INFORMATION  
548 SDI  
44710 NOTIFY?  
86676 ALARM?  
387194 ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR  
NOTIFY? OR ALARM? OR FLAG?

625: American Banker Publications\_1981-2008/Jun 26

4252 FLAG?  
6 SDI  
1260 SELECTIVE  
42909 INFORMATION  
5 SELECTIVE(2N) INFORMATION  
1740 ALARM?  
1845 NOTIFY?  
1845 NOTIFY?  
2788 ALERT?  
10182 ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR  
NOTIFY? OR ALARM? OR FLAG?

268: Banking Info Source\_1981-2010/Jun W3

2344 NOTIFY?  
16 SDI  
1324 SELECTIVE  
64968 INFORMATION  
22 SELECTIVE(2N) INFORMATION  
2220 ALARM?  
2344 NOTIFY?  
4477 ALERT?  
4167 FLAG?  
12128 ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR  
NOTIFY? OR ALARM? OR FLAG?

## Save-2010-07-05\_204724

626: Bond Buyer Full Text\_1981-2008/Jul 07  
1852 FLAG?  
689 NOTIFY?  
5 SDI  
747 SELECTIVE  
25426 INFORMATION  
8 SELECTIVE(2N) INFORMATION  
689 NOTIFY?  
799 ALERT?  
837 ALARM?  
4092 ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR  
NOTIFY? OR ALARM? OR FLAG?

267: Finance & Banking Newsletters\_2008/Sep 29  
2224 FLAG?  
1516 ALERT?  
812 ALARM?  
560 NOTIFY?  
23 SDI  
1331 SELECTIVE  
25712 INFORMATION  
14 SELECTIVE(2N) INFORMATION  
560 NOTIFY?  
4854 ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR  
NOTIFY? OR ALARM? OR FLAG?

TOTAL: FILES 608,625,268 and ...  
118391 ALERT?  
598 SDI  
19280 SELECTIVE  
6617497 INFORMATION  
194 SELECTIVE(2N) INFORMATION  
50148 NOTIFY?  
50148 NOTIFY?  
92285 ALARM?  
176452 FLAG?  
S2 418450 ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR  
NOTIFY? OR ALARM? OR FLAG?

### ? s trigger? or rule or rules

608: MCT Information Svc.\_1992-2010/Jul 05  
93518 TRIGGER?  
179325 RULE  
305930 RULES  
530793 TRIGGER? OR RULE OR RULES

625: American Banker Publications\_1981-2008/Jun 26  
4304 TRIGGER?  
15713 RULE  
20745 RULES  
34451 TRIGGER? OR RULE OR RULES

268: Banking Info Source\_1981-2010/Jun W3  
5182 TRIGGER?  
14964 RULE  
25342 RULES  
38146 TRIGGER? OR RULE OR RULES

# Save-2010-07-05\_204724

626: Bond Buyer Full Text\_1981-2008/Jul 07  
 11465 RULES  
 3731 TRIGGER?  
 9768 RULE  
 20765 TRIGGER? OR RULE OR RULES

267: Finance & Banking Newsletters\_2008/Sep 29  
 7798 RULE  
 2702 TRIGGER?  
 7937 RULES  
 15474 TRIGGER? OR RULE OR RULES

TOTAL: FILES 608,625,268 and ...  
 109437 TRIGGER?  
 227568 RULE  
 371419 RULES  
 S3 639629 TRIGGER? OR RULE OR RULES

## ? s quantitative? or non()quantitative? or nonquantitative?

608: MCT Information Svc.\_1992-2010/Jul 05  
 1 NONQUANTITATIVE?  
 345310 NON  
 2597 QUANTITATIVE?  
 1 NON (W) QUANTITATIVE?  
 2597 QUANTITATIVE?  
 2598 QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATIVE?

625: American Banker Publications\_1981-2008/Jun 26  
 6 NONQUANTITATIVE?  
 8990 NON  
 1073 QUANTITATIVE?  
 0 NON (W) QUANTITATIVE?  
 1073 QUANTITATIVE?  
 1078 QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATIVE?

268: Banking Info Source\_1981-2010/Jun W3  
 5 NONQUANTITATIVE?  
 25353 NON  
 2037 QUANTITATIVE?  
 11 NON (W) QUANTITATIVE?  
 2037 QUANTITATIVE?  
 2039 QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATIVE?

626: Bond Buyer Full Text\_1981-2008/Jul 07  
 0 NONQUANTITATIVE?  
 23010 NON  
 329 QUANTITATIVE?  
 0 NON (W) QUANTITATIVE?  
 329 QUANTITATIVE?  
 329 QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATIVE?

267: Finance & Banking Newsletters\_2008/Sep 29  
 1 NONQUANTITATIVE?  
 15758 NON  
 1379 QUANTITATIVE?  
 5 NON (W) QUANTITATIVE?  
 1379 QUANTITATIVE?  
 1379 QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATIVE?

```
TOTAL: FILES 608,625,268 and ...
      7415  QUANTITATIVE?
      418421 NON
      7415  QUANTITATIVE?
      17    NON(W)QUANTITATIVE?
      13    NONQUANTITATIVE?
S4     7423  QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATIVE?
```

? s s1 (30n)s2(30n)s3

## Processing

```
608: MCT Information Svc._1992-2010/Jul 05
      387194 S2
      530793 S3
      2067203 S1
      723    S1 (30N)S2(30N)S3

625: American Banker Publications_1981-2008/Jun 26
      10182 S2
      34451 S3
      184339 S1
      233    S1 (30N)S2(30N)S3

268: Banking Info Source_1981-2010/Jun W3
      12128 S2
      38146 S3
      201861 S1
      230    S1 (30N)S2(30N)S3

626: Bond Buyer Full Text_1981-2008/Jul 07
      4092 S2
      20765 S3
      297633 S1
      196    S1 (30N)S2(30N)S3

267: Finance & Banking Newsletters_2008/Sep 29
      4854 S2
      15474 S3
      117989 S1
      146    S1 (30N)S2(30N)S3

TOTAL: FILES 608,625,268 and ...
      2869025 S1
      418450 S2
      639629 S3
S5     1528 S1 (30N)S2(30N)S3
```

? s s1(30n)s2(4n)s3

```
608: MCT Information Svc._1992-2010/Jul 05
      387194 S2
      530793 S3
      2067203 S1
      308    S1 (30N)S2(4N)S3
```

625: American Banker Publications\_1981-2008/Jun 26  
 10182 S2  
 34451 S3  
 184339 S1  
 99 S1 (30N) S2 (4N) S3

268: Banking Info Source\_1981-2010/Jun W3  
 12128 S2  
 38146 S3  
 201861 S1  
 114 S1 (30N) S2 (4N) S3

626: Bond Buyer Full Text\_1981-2008/Jul 07  
 4092 S2  
 20765 S3  
 297633 S1  
 106 S1 (30N) S2 (4N) S3

267: Finance & Banking Newsletters\_2008/Sep 29  
 4854 S2  
 15474 S3  
 117989 S1  
 79 S1 (30N) S2 (4N) S3

TOTAL: FILES 608,625,268 and ...  
 2869025 S1  
 418450 S2  
 639629 S3  
 S6 706 S1 (30N) S2 (4N) S3

? s6 and (automat? or software? or online or on()line or software or internet? or web or computer?)/de,it,ti

Processing  
 Processing  
 Processing  
 Processing

608: MCT Information Svc.\_1992-2010/Jul 05  
 >>>Term "IT" is not a valid suffix in file 608 and is ignored  
 Processing

308 S6  
 55361 INTERNET?/DE,IT,TI  
 59891 ONLINE/DE,IT,TI  
 18719 WEB/DE,IT,TI  
 11655 SOFTWARE/DE,IT,TI  
 687058 ON/DE,IT,TI  
 36213 LINE/DE,IT,TI  
 1613 ON/DE,IT,TI(W)LINE/DE,IT,TI  
 1960 AUTOMAT?/DE,IT,TI  
 11659 SOFTWARE?/DE,IT,TI  
 135969 COMPUTER?/DE,IT,TI  
 17 S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR ON()LINE OR SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,TI

625: American Banker Publications\_1981-2008/Jun 26  
 >>>Term "DE" is not defined in file 625 and is ignored

## Save-2010-07-05\_204724

```
>>>Term "IT" is not a valid suffix in file 625 and is ignored
    99 S6
25032 OH/DE,IT,TI
    1856 LINE/DE,IT,TI
    888 OH/DE,IT,TI(W)LINE/DE,IT,TI
    1972 WEB/DE,IT,TI
    658 ONLINE/DE,IT,TI
    2579 SOFTWARE/DE,IT,TI
    2582 SOFTWARE?/DE,IT,TI
    637 AUTOMAT?/DE,IT,TI
    1163 INTERNET?/DE,IT,TI
    739 COMPUTER?/DE,IT,TI
    6 S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR OH{})LINE OR
      SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,TI

268: Banking Info Source_1981-2010/Jun W3
>>>Term "IT" is not a valid suffix in file 268 and is ignored
    114 S6
    15620 INTERNET?/DE,IT,TI
    35954 AUTOMAT?/DE,IT,TI
    3835 ONLINE/DE,IT,TI
    51388 OH/DE,IT,TI
    3605 LINE/DE,IT,TI
    1007 OH/DE,IT,TI(W)LINE/DE,IT,TI
    5461 WEB/DE,IT,TI
    24971 SOFTWARE/DE,IT,TI
    24973 SOFTWARE?/DE,IT,TI
    19063 COMPUTER?/DE,IT,TI
    14 S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR OH{})LINE OR
      SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,TI

626: Bond Buyer Full Text_1981-2008/Jul 07
>>>Term "DE" is not defined in file 626 and is ignored
>>>Term "IT" is not a valid suffix in file 626 and is ignored
    106 S6
    50 AUTOMAT?/DE,IT,TI
    51 SOFTWARE?/DE,IT,TI
    16664 OH/DE,IT,TI
    276 LINE/DE,IT,TI
    32 OH/DE,IT,TI(W)LINE/DE,IT,TI
    51 SOFTWARE/DE,IT,TI
    153 ONLINE/DE,IT,TI
    220 WEB/DE,IT,TI
    255 INTERNET?/DE,IT,TI
    87 COMPUTER?/DE,IT,TI
    2 S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR OH{})LINE OR
      SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,TI

267: Finance & Banking Newsletters_2008/Sep 29
>>>Term "DE" is not defined in file 267 and is ignored
>>>Term "IT" is not a valid suffix in file 267 and is ignored
    79 S6
    690 SOFTWARE?/DE,IT,TI
    8795 OH/DE,IT,TI
    561 LINE/DE,IT,TI
    186 OH/DE,IT,TI(W)LINE/DE,IT,TI
    245 AUTOMAT?/DE,IT,TI
    731 WEB/DE,IT,TI
    972 INTERNET?/DE,IT,TI
    875 ONLINE/DE,IT,TI
    689 SOFTWARE/DE,IT,TI
    144 COMPUTER?/DE,IT,TI
```



## Save-2010-07-05\_204724

```
5 S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR ON()LINE OR
SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,II

TOTAL: FILES 608,625,268 and ...
706 S6
38846 AUTOMAT?/DE,IT,II
39955 SOFTWARE?/DE,IT,II
65412 ONLINE/DE,IT,II
788937 ON/DE,IT,II
42511 LINE/DE,IT,II
3726 ON/DE,IT,II(W)LINE/DE,IT,II
39945 SOFTWARE/DE,IT,II
73371 INTERNET?/DE,IT,II
27103 WEB/DE,IT,II
156002 COMPUTER?/DE,IT,II
S7 44 S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR ON()LINE OR
SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,II
```

### ? s s7 and py<2000

```
608: MCT Information Svc._1992-2010/Jul 05
17 S7
581855 PY<2000
2 S7 AND PY<2000

625: American Banker Publications_1981-2008/Jun 26
6 S7
239953 PY<2000
3 S7 AND PY<2000

268: Banking Info Source_1981-2010/Jun W3
14 S7
368249 PY<2000
3 S7 AND PY<2000

626: Bond Buyer Full Text_1981-2008/Jul 07
2 S7
217768 PY<2000
1 S7 AND PY<2000

267: Finance & Banking Newsletters_2008/Sep 29
5 S7
64635 PY<2000
4 S7 AND PY<2000

TOTAL: FILES 608,625,268 and ...
44 S7
1472460 PY<2000
S8 13 S7 AND PY<2000
```

### ? rd

```
>>>Duplicate detection is not supported for File 625.

>>>Duplicate detection is not supported for File 626.
```

>>>Records from unsupported files will be retained in the RD set.  
S9 13 RD (unique items)

? t /6,k/1-20

9/6,K/1 (Item 1 from file: 608)

DIALOG(R)File 608: MCT Information Svc.

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06732899 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Austin, Texas-Based Firm's Software Helps Brokers Monitor E-Mail Claims**

December 20, 1999

**Word Count:** 687

**Austin, Texas-Based Firm's Software Helps Brokers Monitor E-Mail Claims**

**Lead Paragraph:**

**Text:**

...governed by the same rules that prohibit written statements that claim a guaranteed return on **investment**. Typically, brokers submit copies of letters to their compliance departments to ensure they are not violating **rules** that forbid promising that a risky **investment** will pay off.

Amicus' ToolBelt 98-11 -- named for NASD Notice 98-11, which **alerted** the **securities** industry to the **rule** change -- uses a search engine to look for about 600 problem words, such as "guarantee..."

**Descriptors:**

**Computers**

**Ticker Symbols:**

**1999**

9/6,K/2 (Item 2 from file: 608)

DIALOG(R)File 608: MCT Information Svc.

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06648280 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**The Seattle Times Business Newsletter Column**

March 30, 1999

Word Count: 667

Lead Paragraph:

Text:

...year. Many businesses in Europe and elsewhere begin the business year on April 1. So **businesses** are on **alert** for millennium-bug failures that **could** be **triggered** by the start of their new financial **year** Thursday. It could hit any business that is not fully prepared and **that** uses financial systems to **forecast** for the year ahead. This means it has to process dates into 2000.  
YOU MAY...

Descriptors:  
General

Ticker Symbols:

1999

9/6,K/3 (Item 1 from file: 625)  
DIALOG(R)File 625: American Banker Publications  
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0233536

**In Brief: Canada Internet Mart Picks Calif. Tech Firm**

March 5, 1999

**In Brief: Canada Internet Mart Picks Calif. Tech Firm**

Text:

...other major financial institutions in Canada.

The Tibco technology personalizes and enhances i/money's **stock** quotes, loan rates, planning tools, and on-line transactional services. Clients can get up-to-the-minute information about their portfolios, arrange for on-line **alerts triggered** by specific market conditions, and place orders with financial institutions.

"Tibco's products enhance our ability to provide sophisticated services such as asset allocation tools and customized, Java-based **stock** tickers to the individual customer," said Rick Yazwinski, i/money's chief technology officer.

The...

9/6,K/4 (Item 2 from file: 625)

DIALOG(R)File 625: American Banker Publications

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0208057

**Northern Trust's Treasury Group Eyes Web Business**

November 10, 1997

**Northern Trust's Treasury Group Eyes Web Business**

**Text:**

...10 percent; they don't want to be exposed to a certain economic sector of **equities** more than 20 percent; they don't want to be exposed in IBM by more than five percent. What we can do is run those **alerts** against a number of portfolios that they have with various **investment** managers, and we can **trigger** that exception or **alert** to the client. And we're six months ahead of the competition in delivering this...

9/6,K/5 (Item 3 from file: 625)

DIALOG(R)File 625: American Banker Publications

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0121345

**Boston Co. Software Woos Mutual Funds**

October 4, 1991

**Boston Co. Software Woos Mutual Funds**

**Text:**

...of seasoned executives to help less experienced managers make decisions. The expert system will incorporate **rules** from the **Securities** and Exchange Commission and elsewhere to **alert** customers when transactions exceed regulatory limits.

Though small, the Boston Co. is drawing on the...

9/6,K/6 (Item 1 from file: 268)

DIALOG(R)File 268: Banking Info Source

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00366329 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Broker-dealers not compliant face shutdown**

Jul/Aug 1999

**Word Count:** 00584

**ARTICLE REFERENCE NUMBER:**

...of proposed rulemaking published in the Federal Register March 11 (64 FR 12127). The proposed **rules** are as follows:

Broker-dealers must have sufficient operational capability to conduct a **securities** business (15b7-2).

Broker-dealers must **notify** examining authorities August 31 if they are not ready for the date change. If the...

**Descriptors:** ...Bank automation

**Geographic Names:**

9/6,K/7 (Item 2 from file: 268)

DIALOG(R)File 268: Banking Info Source

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00361598 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Onward to Y2K: A legislative and regulatory update**

Apr 1999

**Word Count:** 00797

**ARTICLE REFERENCE NUMBER:**

...discovered.

The following rules were proposed, with just a 30-day comment period:

\* Under proposed **Rule** 15b7-2, broker-dealers must have sufficient operational capability to conduct a **securities** business.

\* Under proposed temporary **Rule** 15b7-3T, broker-dealers must, on August 31, 1999, **notify** their examining authority if they are not ready for the date change. If the CEO...

**Descriptors:** ...Bank automation;

**Geographic Names:**

9/6,K/8 (Item 3 from file: 268)

DIALOG(R)File 268: Banking Info Source

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00345872 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Personalizing the Internet**

Sep/Oct 1998

Word Count: 01531

Personalizing the Internet

ARTICLE REFERENCE NUMBER:

...Web page corresponding to their specific interests. For example, if the customer has established a **stock** portfolio, a personalized **stock** ticker can show the current prices of **securities** held.

Second, the site can deliver messages that are closely aligned with each customer's needs and interests. Santander provides these "**alerts**" by means of e-mail or an HTML Web page downloaded to the user's browser. **Alerts** can be **triggered** by many different criteria, such as account balances dropping to a predetermined threshold or a **stock** reaching a specific price.

To examine results of the personalization effort, the bank has segmented...

Descriptors: Bank automation; ... ..Web sites

Geographic Names:

9/6,K/9 (Item 1 from file: 626)

DIALOG(R)File 626: Bond Buyer Full Text

(c) 2008 Bond Buyer. All rights reserved.

0184774

News and Trends: Court May Force Class Action Parties to Post Documents on Web

December 18, 1996

News and Trends: Court May Force Class Action Parties to Post Documents on Web

Text:

...site to automatically alert registered users to its new electronic postings via e-mail. The **alerts** would have to be sent within one day of the new postings.

So far, Stanford University School of Law's **Securities** Class Action Clearinghouse is the only Web site which complies with the proposed **rule**, said Judge Walker.

That site, which was launched just under two weeks ago, already contains...

9/6,K/10 (Item 1 from file: 267)

DIALOG(R)File 267: Finance & Banking Newsletters

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04556802

**Accounts, Fines and Web Sites**

October 1,1999

**Word Count: 595**

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

**Accounts, Fines and Web Sites**

**Text:**

...your brokerage accounts wherever you like. However, you must comply with the National Association of **Securities** Dealers' notification and reporting requirements regarding these accounts. NASD **rules** require that you promptly **notify** your firm's compliance department, in writing, regarding all accounts that you maintain at other brokerage firms. The **rules** also require you to provide written notification to the firms that hold your accounts that...

1999

9/6,K/11 (Item 2 from file: 267)

DIALOG(R)File 267: Finance & Banking Newsletters

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04553800

**Bill Management Goes Online**

July 21, 1999 Y NE

**Word Count: 404**

(c) PHILLIPS PUBLISHING INTERNATIONAL All Rts. Reserv.

**Bill Management Goes Online**

**Text:**

...amounts and timetables, he says. The system's flexibility also allows the user to alter **rules** as their financial situation changes or in response to the bill's amount as well as sends an e-mail **alert** message before **funds** are sent, Simpson explains. The company would not disclose the size

of its client base...

1999

9/6,K/12 (Item 3 from file: 267)  
DIALOG(R)File 267: Finance & Banking Newsletters  
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04546172  
**NASD Rules On Internet Disclosure**

March 1,1999

**Word Count: 455**

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**NASD Rules On Internet Disclosure**

**Text:**

...newspapers and trade publications.

Initially, only material news will be affected by the new NASD **rules**. Any news concerning a merger, acquisition, joint venture or **stock** split among other events is considered material.

The new **rules** also require companies to **notify** Nasdaq at least 10 minutes before they release potentially market-moving information anywhere else. Before the current **rules** were enacted, companies were required to **notify** Nasdaq of certain specific events, mergers, for example. The phrase "potentially market moving" opens the...

1999

9/6,K/13 (Item 4 from file: 267)  
DIALOG(R)File 267: Finance & Banking Newsletters  
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00019449  
**Internet Services Abound for IRO's**

September 30,1996

**Word Count: 961**



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**Internet Services Abound for IRO's**

**Text:**

...Web sites."

The Inc.Link page provides: current company stock performance (including up-to-date **stock** quote); historical **stock** performance (including performance graphs); current company news; research (such as a company report card showing...

...and comprehensive research reports); and current data on general market conditions.

Additionally, the service provides **alerts** on any company to registered users. **Alerts** are **triggered** by abnormal price/volume activity; press releases or **Securities** and Exchange Commission news releases.

The service also provides access to "Inc.Link Hub," a...

**1996**

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Set	File	Items	Description
	608	2067203	
	625	184339	
	268	201861	
	626	297633	
	267	117989	
S1		2869025	STOCK? OR BOND? OR SECURITIES OR FUNDS OR INVESTMENT? OR SHARE OR SHARES OR EQUITIES OR EQUITY
	608	387194	
	625	10182	
	268	12128	
	626	4092	
	267	4854	
S2		418450	ALERT? OR SDI OR SELECTIVE (2N) INFORMATION OR NOTIFY? OR NOTIFY? OR ALARM? OR FLAG?
	608	530793	
	625	34451	
	268	38146	
	626	20765	
	267	15474	
S3		639629	TRIGGER? OR RULE OR RULES
	608	2598	
	625	1078	
	268	2039	
	626	329	
	267	1379	
S4		7423	QUANTITATIVE? OR NON()QUANTITATIVE? OR NONQUANTITATI- VE?
	608	723	

	625	233	
	268	230	
	626	196	
	267	146	
S5		1528	S1 (30N)S2(30N)S3
	608	308	
	625	99	
	268	114	
	626	106	
	267	79	
S6		706	S1(30N)S2(4N)S3
	608	17	
	625	6	
	268	14	
	626	2	
	267	5	
S7		44	S6 AND (AUTOMAT? OR SOFTWARE? OR ONLINE OR ON()LINE -
			OR SOFTWARE OR INTERNET? OR WEB OR COMPUTER?)/DE,IT,TI
	608	2	
	625	3	
	268	3	
	626	1	
	267	4	
S8		13	S7 AND PY<2000
	608	2	
	625	3	
	268	3	
	626	1	
	267	4	
S9		13	RD (unique items)

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